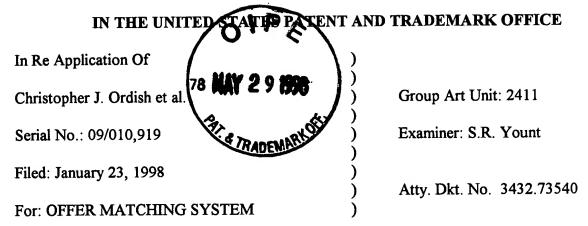
### PATENT APPLICATION



# INFORMATION DISCLOSURE STATEMENT

The Honorable Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

98 JUN -2 AMIO: 56 GROUP 2700

In accordance with Applicants' duty of disclosure, the following information is cited for consideration by the Patent and Trademark Office in connection with the above-identified application. The information cited in this statement is of record in prior Application Serial No. 08/364,009, now U.S. Patent No. 5,727,165. The above-identified application is a continuing application based on the '009 application. In accordance with 37 C.F.R. 1.98(d), copies of the patents and publications listed in this statement are provided since the information was previously cited by or submitted to the Office in parent application Serial No. 08/788,575. All references are listed on the attached Form PTO-1449.

There is no fee believed to be required with the filing of this statement. Nonetheless, should the Patent and Trademark Office determine that a fee is required, please charge our Deposit Account No. 19-0733.

Applicants respectfully request that the Examiner consider this information and return a copy of an initialed PTO Form 1449.

Respectfully submitted,

By:

Christopher R. Glembocki

Registration No. 38,800

BANNER & WITCOFF, LTD. 1001 G Street, N.W., 11th Floor Washington, D.C. 20001-4597 (202) 508-9100

Dated: May 29, 1998

#### PTO-1449 (Modified)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTY.	DOCKET	NO.
	03432.7	73540

SERIAL NUMBER 09/010,919

RK OFFICE APPLICANT

Christopher J. Ordish et al.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

FILING DATE

GROUP ART UNIT

December 27, 1994

2411

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
	3,335,231	8/1967	Gray et al.	379	81	
	3,465,298	9/1969	La Duke et al.	364	474.01	
	3,573,747	4/1971	Adams et al.	364	408	
	3,574,747	4/1971	Adams et al.			
	3,581,072	5/1971	Nymeyer	364	408X	
	3,626,385	12/1971	Bouman	364	474.01	
	3,728,488	4/1973	Bonsky et al.	379	81	98
	3,745,529	7/1973	Eagle	371	62	芝 帮
	3,795,800	3/1974	Nimmo	371	16.3	
	3,829,842	8/1974	Langdon et al.	364	474.01 r	OPK
	4,114,027	9/1978	Slater et al.	<u> </u>		7 6
	4,114,029	9/1978	Slater et al.	235	419	5

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSL YES/	
	0 343 820	11/1989	Europe				
	0 416 482 A3	8/1990	Europe	ļ			
	0 411 748	2/1991	Europe	ļ			
	0 512 702	11/1992	Europe				
	1489571	10/1977	UK				
	1489573	10/1977	UK	<u> </u>			

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

 T. Gunton, A Dictionary of Information Technology and Computer Science, NCC Blackwell, pp. 183-184, 1990.
H. Nussbaumer, Computer Communication Systems, Vol. 1, pp. 141-2, 216-9, and 232-3, John Wiley, 1987.
 Handbook of Computer-Communications, Vol. 3, Second Edition, Howard W. Sams & Co., 1989.
Donald P. Mazzella, "Flying High with Financial Databases," Wall Street Computer Review, pp. 36-44, 1985.
Saul Hansell, "The Computer That Ate Chicago, Institutional Investor, pp. 180-188, 1989.
Kathleen A. Behof et al., "Future Shock if Ratting the Futures Pits, Business Week, pp. 93-94, 1989.
Clarisse M. Persanyi, "Global Custody: Take a Journey to 1992, ABA Banking Journal, pp. 96, 100, 1990.

DV	4 %	4Th	מדידד
EX	Αг	ИIN	LK

DATE CONSIDERED

EXAMINER: Initial citation if reference was considered. Draw line through citation if not in conformance to MPEP 609 and not considered. Include copy of this form with next communication to applicant.

PTO-1449 (Modified)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTY.	DOCKET	NO.
	03432.7	73540

SERIAL NUMBER 09/010,919

FICE APPLICANT

Christopher J. Ordish et al.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

FILING DATE

**GROUP ART UNIT** 

December 27, 1994

2411

U.S. PATENT DOCUMENTS

		1 1	ATENT DOCUMENTS	· - · · · · · · · · · · · · · · · · · ·	,	
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
	4,276,593	6/1981	Hansen	364	184	
	4,302,810	11/1981	Bouricius et al.	380	24	
	4,369,493	1/1983	Kronenberg	395	550	
	4,376,978	3/1983	Musmanno			
	4,382,810	5/1983	Wood	65	29	
	4,404,551	9/1983	Howse et al.	340	711	
	4,410,889	10/1983	Bryant et al.	340	825.2	
	4,412,287	10/1983	Braddock, III	364	408	ــــــــــــــــــــــــــــــــــــــ
	4,486,853	12/1984	Parsons	395	275	<del>\$</del> 8
	4,525,779	6/1985	Davids et al.	395	153	RD S
	4,531,184	7/1985	Wigan et al.	395	153	1 2 T
	4,625,276	11/1986	Benton et al.	364	408	2 M
	4,674,044	6/1987	Kalmus et al.	364	408	AMIO:
	4,677,552	6/1987	Sibley, Jr.	364	408	56
	4,713,811	12/1987	Frey	371	8.2	

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

-	Copy of European Search Report for European Counterpart Application
	C. Welles, "The Computer Assault on New York's Foreign Exchange Market," Institutional Investor, pp. 32-36, 19
	J. Brown, "USE Automates with Matchmaker," Computing Canada, pp. 12 and 42, 1988.
	F. Norris, "Computers for the Futures Pits, The New York Times, p. D1, 1989.
	"The Swiss Connection", Asian Finance, pp. 22-23, 1988.
	J-P Banatre et al., "The Design and Building of Enchere, a Distributed Electronic Marketing System", Communications of the Association for Computer Machinery, pp. 19-29, Vol. 29, No. 1, USA, Jan. 1986.

EX.	A B 4	TATI	7 D
EA.	MN	IIV.	

DATE CONSIDERED

EXAMINER: Initial citation if reference was considered. Draw line through citation if not in conformance to MPEP 609 and not considered. Include copy of this form with next communication to applicant.

\_

# PTO-1449 (Modified)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO. 03432.73540

SERIAL NUMBER 09/010,919

ARK OFFICE APPLICANT

Christopher J. Ordish et al.

INFORMATION DISCLOSURE STATEMENT
BY APPLICANT

FILING DATE

**GROUP ART UNIT** 

December 27, 1994

2411

TIC	TO A PERSON FOR	DOCUMENTS	
11.5.	PAIRNI	DURILLIMENTS IN	

		U.S. 1	PATENT DOCUMENTS			
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
	4,745,559	5/1988	Willis et al.			
	4,750,135	6/1988	Boilen			
	4,789,928	12/1988	Fujisaki	364	401_	
	4,805,204	2/1989	Hashimoto	379	71	
	4,833,616	5/1989	Takei et al.	364	473	
	4,868,865	9/1989	Ogawa et al.	379	100	
	4,876,652	10/1989	Gardner	364	473	
	4,897,857	1/1990	Wakatsuki et al.	375	76	
	4,903,201	2/1990	Wagner	364	408	
	4,926,325	5/1990	Benton et al.	364	ج 408	8
	4,930,093	5/1990	Houser et al.	364	551.01	
	4,960,981	10/1990	Benton et al.	235	379	-2
	4,980,826	12/1990	Wagner	364	408	AM
	5,003,473	3/1991	Richards	364	408	
	5,012,426	4/1991	Harada et al.	364	476	56
	5,038,284	8/1991	Kramer	364	408	
	5,077,665	12/1991	Silverman et al.	364	408	

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO	

OTHER	DOCUMENTS	(TL-1:	A 4 h	Tial.	Dose	Dominout D	occo Pto )
111 M H K	THE RESIDENCE OF THE SECOND	ancmmuny	AUIROF.	I IIIP.	IIIIP.	remmen r	AVES. CAC.I

0	
	•
	 _
	 -

EX	A 1	A T	N	CD

DATE CONSIDERED

EXAMINER: Initial citation if reference was considered. Draw line through citation if not in conformance to MPEP 609 and not considered. Include copy of this form with next communication to applicant.